



DEPARTMENT OF THE NAVY
OFFICE OF THE SECRETARY
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SECNAVINST 5210.16
DON CIO
31 Dec 2005

SECNAV INSTRUCTION 5210.16

From: Secretary of the Navy

Subj: DEPARTMENT OF THE NAVY (DON) FORMS MANAGEMENT AND
INFORMATION REQUIREMENTS (REPORTS) MANAGEMENT PROGRAMS

Ref: (a) DOD Instruction 7750.7 of 31 May 90
(b) DOD 7750.7-M of 14 Aug 91
(c) DOD Directive 8910.1 of 11 Jun 93
(d) DOD 8910.1-M of 30 Jun 98
(e) Title 44 United States Code, Chapter 35
(f) Title 5 Code of Federal Regulations, Part 1320
(g) SECNAVINST 5430.7N

Encl: (1) Definitions

1. Purpose. Establishes policies and assigns responsibilities for the management and control of DON forms and information requirements (reports) and implements references (a) through (f). This instruction has been substantially revised and should be reviewed in its entirety.

2. Cancellation. SECNAVINST 5213.10D and SECNAVINST 5214.2B.

3. Applicability and Scope. This directive applies to the Offices of the Secretary of the Navy (SECNAV), The Chief of Naval Operations (CNO), the Commandant of the Marine Corps (CMC), and all Navy and Marine Corps activities, installations, and commands.

4. Definitions. Definitions used in this instruction are in enclosure (1).

5. Background

a. Information is vital to the success of any organization and provides the basis for management decisions. Forms and information collections are important methods for collecting and providing information to decision makers. As conditions or

needs change, forms management and information requirements
(reports) management must provide for improvement and control of

forms, information collections, and the associated processes and systems.

b. Effective management requires organized and consistent efforts to improve the quality and economy of information collection. Information collections must only collect information that is actually needed, when it is needed, and in the most efficient format. Further, information collections must ensure maximum effectiveness at the lowest possible cost and with the minimum time burden on personnel and systems.

c. When managing an information requirement, careful attention must be given to the type of information collection involved. Very different procedures are required for public collections, interagency collections, and collections internal to the DON. In particular, collections from the public require approval, via Washington Headquarters Services, Directorate for Information Operations and Reports (WHS/DIOR), from the Office of Management and Budget (OMB). Procedures for each of these cases will be documented in a SECNAV manual.

d. A significant and rapidly increasing portion of the DON's forms and information collections are created, used, and/or stored electronically. This provides an excellent opportunity to expedite workflow processes and reduce storage space, mailing costs, and collection time. Web based forms, web services, and authoritative databases also provide excellent opportunities to improve forms and collections. The same emphasis on report quality and economy applied to paper based reporting systems applies to electronic systems.

6. Objectives. The overall objective of the DON Forms Management Program and the Information Requirements (Reports) Management Program is to ensure that needed information is provided to DON officials at the right time, in the best format, and at the lowest possible cost. Specific objectives are to:

a. Ensure that all forms and information collections satisfy a valid need and are necessary for efficient and economical operation of the Department of the Navy.

b. Minimize the cost of using forms and information collections by developing forms and collections that are easy to fill-in, read, transmit, process, and retrieve.

c. Increase the usefulness of information on forms and information collections through proper design and clear instructions.

d. Promote standardization and consolidation of forms and information collections.

e. Promote the use of technology to facilitate the creation, distribution, and use of electronic formats for forms and information collections. Utilize web-based, electronically fillable formats, web services, and authoritative data.

f. Promote the use of common definitions of information contained in forms and information collections.

7. Policy. It is the policy of the Department of the Navy that:

a. All DON commands shall provide for continuing analysis, review and control of all their forms and information requirements to ensure that they are effective, efficient, necessary, and economical in serving their intended purpose. DON implementing and procedural guidance regarding the DON Forms Program and the DON Information Requirements (Reports) Program is contained in SECNAV Manuals M-5213.1 and M-5214.1.

b. In order to minimize and control the burden associated with data collection, forms and information collections shall only request information essential to mission accomplishment.

c. Information requirements shall be challenged if considered unnecessary or redundant of existing reports.

d. Forms and information collections shall be standardized to the maximum extent practicable.

e. Forms and information collections shall not be redundant with forms and information collections of higher authority. Duplicative forms and reports and those from lower command levels shall be consolidated into higher level forms and reports, commensurate with command precedence.

f. When a DON command requires a form they shall use, in order of precedence, GSA Standard or Optional forms, then DD

forms, and finally existing DON forms. The last option is to create a new DON form. This option requires approval and assignment of a form number from the Service Forms Manager.

g. The authorization of an information requirement shall require the assignment of a report control symbol or the citing of the authority that exempts the report from requiring a symbol.

h. Information requirements shall not be initially authorized for longer than three years from the date of the implementing document.

i. Fleet commanders and commanding generals of the Fleet Marine Forces shall submit comments on information requirements imposed on the operating forces through their Chain of Command to the CNO or CMC as applicable.

j. At the discretion of the appropriate reviewing authority, no new information requirements shall be initiated by DON organizational components without cancellation of another requirement of at least equal labor intensity.

k. All information collections shall include an electronic version unless it is not practicable to do so in order to promote greater efficiency and accessibility.

l. Forms that solicit personal information directly from an individual shall contain a Privacy Act Statement that apprises the individual of the authority that authorizes collection, the purpose of the collection, who shall routinely have access to the information, and whether disclosure is voluntary or mandatory. When filled in, the form shall be marked FOR OFFICIAL USE ONLY.

m. Forms and information collections that solicit personal information shall be cleared through CNO (DNS-36) to ensure that a Privacy Act system of records notice exists that permits such collection.

n. Forms and information collections that may affect employees' conditions of employment shall be cleared through the DON Labor Relations Program Office, Office of Civilian Human

Resources to ensure compliance with Federal Labor Relations Laws.

8. Responsibilities

a. Department of the Navy Chief Information Officer (DON CIO). The DON CIO, in accordance with 44 U.S.C. §3506 (reference (c)) and reference (g), on behalf of the Secretary of the Navy, is responsible for the Information Management and Information Resources Management function in the DON, including forms management and information requirements (reports) management. Accordingly, the DON CIO shall:

(1) Provide strategic direction and oversight of DON forms and information collection management and issue DON policy to ensure that forms and information collections are:

(a) Effective, efficient, necessary, and economical in serving their intended purpose in accordance with references (a) through (f).

(b) Only requesting information essential to mission accomplishment

(2) Coordinate forms and information requirement policy issues with the Chief of Naval Operations and the Commandant of the Marine Corps.

b. Chief of Naval Operations (CNO)

(1) The Chief Of Naval Operations (CNO) shall provide support to the DON CIO in discharge of the DON Forms Management Program and the DON Information Requirements (Reports) Management Program by developing coordinated and comprehensive programs and providing staff assistance to the DON CIO in carrying out his responsibilities under these programs.

(2) In this capacity the CNO shall:

(a) Develop and maintain a SECNAV manual that contains implementation guidance and program guidelines for the DON Forms Management Program.

(b) Develop and maintain a SECNAV manual that contains implementation guidance and program guidelines for the DON Information Requirements (Reports) Management Program.

(c) Serve as the point of contact and liaison with the Office of the Secretary of Defense (OSD), other components of the Department of Defense (DOD), General Services Administration (GSA) and other federal agencies on forms matters.

(d) Serve as the Navy and SECNAV Forms Manager and Information Requirements (Reporting) Manager.

(e) Implement the DON Forms and Information Requirements (Reports) Management Programs within the Navy.

c. Commandant of the Marine Corps (CMC) shall:

(1) Implement the DON Forms and Information Requirements (Reports) Management Programs within the Marine Corps.

(2) As per CMC designation, the USMC Forms Manager is assigned to the Publishing and Logistics Systems Management Section (ARDE). The USMC Reports Manager is assigned to the Records, Reports and Directives Management Section (ARDB).

9. Effective Date. This instruction is effective immediately.

D. M. Wennergren
Department of Navy
Chief Information Officer

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DEFINITIONS

1. Electronic Form. An officially prescribed set of data residing in an electronic medium that is used to produce a mirror-like image or as near to a mirror-like image as the creation software will allow of the officially prescribed form.
2. Forms. A fixed arrangement of captioned spaces designed for entering and extracting prescribed information.
3. Information. Any communication or representation of knowledge such as facts, data, or opinion in any medium or form, including textual, numerical, graphic, cartographic, narrative, or audiovisual forms.
4. Information Collection (Report). Data or information collected for use in determining policy; planning, controlling and evaluating operations and performance; making administrative determinations; or preparing other reports. The data or information may be in narrative, statistical, graphic, or any other form and may be displayed on paper, magnetic tape, on the World Wide Web, or other media.
5. Information Requirement. The functional area expression of need for data or information to carry out specified and authorized functions or management purposes that require the establishment or maintenance of forms and formats, or reporting or record keeping systems, whether manual or automated.
6. One-Time Report. A report prepared only once.
7. Personal Information. Information about an individual that identifies, relates, or is unique to, or describes him or her; e.g., SSN, age, military rank, civilian grade, marital status, race, salary, home/office phone numbers, etc.
8. Public Information Collection. An information collection involving members of the public.